



New Mexico Secretary of State IT Projects & Status

July 6, 2015

Presented at the request of:
Science, Technology & Telecommunications Interim
Committee

Primary Functions of the SOS

- The SOS has two distinct areas in which it must carry out its constitutional and statutory mandates:
 - **Elections & Ethics** – Oversight of the statewide election process to include providing the statewide voter registration and election management systems, ballot tabulation equipment , ballots, and other printed election material for the 33 counties across the state as well as oversight of the Governmental Conduct Act.
 - **Business & Corporate Services** – Recording and maintaining records vital to the interest of commerce and industry such as limited liability partnership registrations, corporate registrations, trademarks, uniform commercial code (UCC) filings, service of process, notary public registrations, and agricultural liens.

Current Large Project IT Initiatives

- **NMBFS (NM Business Filing System) –**
 - Consolidates system for all SOS business services
 - SOS Business Portal - features online transactions and searches
 - \$1.215M authorized in FY13
 - Project estimated to be complete by December 2015
- **IRIS (Integrated Reporting and Integrity System) –**
 - Replace the current statewide Voter Registration System and a number of other disparate election related software components used by 33 county clerk offices
 - Based on system used in South Dakota – benefits of “from scratch” development without high cost
 - \$1.4M authorized for FY16-17 to complete the project

Business Services - Problem

- **Customer Service is impacted daily**
 - Data integrity issues; i.e. Notary Renewal Date = 1/1/301
 - Lack of system controls; i.e. duplicate UCC filing numbers allowed
 - Unidentified system lockouts
 - Inability to perform end of day cash closeout on money receipted
 - Labor intensive efforts making documents available to the public
- **Timely and costly recovery if failure occurs**
 - Failure of 15+ year old Novell environment would be catastrophic – legacy 16-bit hardware and software would be required for recovery of existing application
 - Pervasive databases, batch and COBOL files are not easily ported to a modern Windows architecture – requires data conversion and re-writing application
- **Overly complex and difficult to support IT environment**
 - Disparate network operating systems – Legacy Novell and Windows TCP/IP
 - Mixed database platforms – Legacy Pervasive and multiple SQL Server versions
 - Mixed development platforms – COBOL, VB client/server, WordPerfect macros, DOS batch files
 - Mixed imaging medias – Bound book volumes, file cabinets, microfilm, digital
 - No documentation on current systems
 - Reactive support from IT staff – time intensive

NMBFS – Solution

- Replace a number of disparate, legacy, undocumented, unsupported, and/or failing systems with a single modernized software solution.
- Implement a consistent revenue collection and receipting process.
- SOS Business Portal - Increase online transaction capability and self service access to public records - single customer access point
- Implement a proven solution used in other states customized for NM
- Improve data integrity, system controls, system reliability and system uptime

The image shows two overlapping windows. The background window is the 'Novell Login' screen, featuring a blue header with the Novell logo and the text 'Novell Client™ for Windows'. It has a 'Username:' field with 'teacher' entered, a 'Password:' field, and a link that says 'Did you forget your password?'. At the bottom, it says 'Log On to Windows' with a Windows logo and copyright information: 'Copyright © 1985-2001 Microsoft Corporation'.

The foreground window is the 'dBASE IV CONTROL CENTER'. It has a menu bar with 'Catalog', 'Tools', and 'Exit'. The title bar says 'DBASEIV'. The status bar shows the time '9:09:01 a'. The main area displays 'CATALOG: F:\DBASE\DATA\OLLIE\UNTITLED.CAT'. Below this is a table with six columns: 'Data', 'Queries', 'Forms', 'Reports', 'Labels', and 'Applications'. Each column has a '<create>' button and a list of items. The 'Data' column lists 'APP', 'FACISIMI', 'LLP', 'LP', and 'SOP'. The 'Queries' column lists 'CT-CORP'. The 'Applications' column lists 'ADD_LP', 'APP', 'GENPART', 'LLP', 'LP', 'LP_WFNO', 'NAME', and 'NAMED'. At the bottom, there is a status bar with keyboard shortcuts: 'Help:F1', 'Use:←', 'Data:F2', 'Design:Shift-F2', 'Quick Report:Shift-F9', and 'Menus:F10'.

Microsoft Corporation

User name: Administrator

Password:

Log on to:

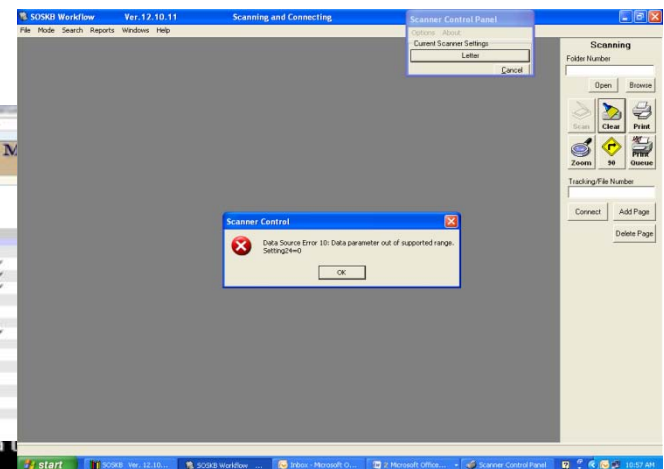
OK Cancel Shut Down...

EN

```
Last name:      Silva
First:         Lula da
Address:       Palacio do Planalto
City:         Brasilia
State:        DF
Country:      BRAZIL

Type customer Number Between 1 and 10

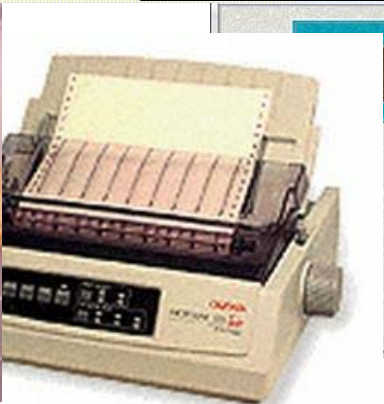
Customer retrieved sucessfully
```




ID	Cumulative_GPA	ToUon_ID	Transfer_Credits	Major	Minor
116-22-1385	4.000	7	0	Computer Science	Economics
118-74-1520	1.231	8	0	Accounting	Physics
121-25-1655	2.636	1	0	Accounting	Physics
123-77-1730	2.239	2	0	Accounting	History
126-28-1925	4.000	3	0	Accounting	Economics
128-08-2059	3.309	4	0	Accounting	Art
131-31-2194	3.435	5	0	Accounting	Music
133-83-2329	1.876	6	0	Accounting	Biology
138-86-2559	2.794	8	3	Accounting	Philosophy
141-37-2734	3.698	1	0	Accounting	Accounting
143-89-2869	3.003	0	0	Accounting	Computer Science
146-48-3004	3.011	3	0	Accounting	Philosophy
148-01-3139	4.000	4	0	Accounting	Mathematics
151-43-3274	1.046	5	0	Accounting	Political Science
153-34-1324	4.000	6	0	Accounting	Mathematics
156-46-2673	4.000	7	0	Accounting	Spanish
158-57-4822	4.000	8	0	Accounting	Chemistry
161-49-5371	2.847	0	0	Accounting	Spanish
164-08-6720	0.110	2	4S	Accounting	Mathematics
168-03-9419	0.337	4	0	Accounting	Physics

4/1

Fetched 28 records, rejected 0 records





Secretary of State's Office

Uniform Commercial Code Information

Search Results Include Filings Through 10/03/2012 12:00 AM

Standard RA9

Non-Standard RA9

File Number Search

☒ Organization

☐ Individual

Organization Name:

Search

Clear

Business Filing – Now...



Corporations and Business Services

New Mexico Secretary of State





The Office of the New Mexico Secretary of State records, files or registers different types of records used in commerce such as Uniform Commercial Code (UCC) filings, Notary Public filings, Trademark/Service Mark registrations and Service of Process on corporations. Please select from the following options listed below:

Search Public Filings

 Authentications Search	 Facsimile Search of Authorized Officer	 Acceptance of Service	
 Trademarks Search	 Notary Public	 UCC Search	 Partnership Search

User Login

User ID:

Password:

☐ Remember me

[Login](#) [Forgot User ID](#) [Forgot Password](#)

[Create User Account](#)

Useful Links

- [Secretary of the State Home](#)
- [NM Taxation & Revenue Department](#)
- [Department of Workforce Solutions](#)
- [U.S. Small Business Administration](#)
- [Internal Revenue Services \(IRS\)](#)
- [Corporation Statutes](#)
- [Limited Liability Company Statutes](#)

NMBFS – Project Status

- Completed Modules:
 - Notary Public Commissions – online and paper transactions
 - Apostille Certificates
 - Service of Process Summons and Complaints
 - Facsimile Signature Filings
 - Agriculture Lien Filings
 - Uniform Commercial Code Filings – online and paper transactions
 - Trademarks and Service Marks Registrations – online and paper transactions
 - Partnerships - online and paper transactions
- In Progress:
 - Corporate/Limited Liability Company Filings – To be completed in the last quarter of 2015

Elections – Current Problem

- 17 Disparate election systems and various support vendors not meeting the needs of the SOS and 33 county clerks
- Many manual processes and duplicate efforts for data exchange between the different systems
- Significant reliance on vendor support
- Inflexible software with expensive maintenance and enhancement costs
- Voting Convenience Centers do not fit the current software capability

IRIS - Accomplishments To Date

IRIS software modules completed and used for the 2014 Primary & General Elections with 100% adoption by the county clerk offices:

- **Mock Election Capability** - End to End Election Testing
- **Statewide Candidate Filing** – captures candidates filing at SOS or county level to appear on ballot and publishes information to a public website in real-time.
- **Automated Ballot Exports (Load Files)**– race and candidate data are captured in a centralized location allowing for easy export to ballot printer vendors for creation of paper ballots and programming of ballot tabulation equipment. This reduces misspellings and other errors in the ballot creation process.
- **Public Results Reporting** – public election results reporting allows for easy tracking of race results with drill down capability to review results at state, county, and precinct level.
- **Results Canvassing** – centralized system allows county and state officials to validate election results and provide reports to auditors and county and state canvass boards. As a result of IRIS, the 2014 Primary Election audit report published by the statewide independent audit firm contained **zero audit findings** for the first time in recorded history.
- **Statewide Recount Results Capture**

Benefits of IRIS Already Realized

Benefits of SOS IRIS Election System	
Beneficiary	Benefits
Secretary of State	<ul style="list-style-type: none"> • Streamlined election reporting results • Statewide automated on-line candidate filing system • Capability to provide election services in a statewide uniform delivery • Real-time audit trail for county's data upload • Ability to perform end to end testing prior to Election Day
County Clerks	<ul style="list-style-type: none"> • Capability for counties to import results from the tabulator machines directly into the centralized reporting application • Accurate canvassing of results from voting convenience centers by precinct • One common application that can be administered uniformly statewide
General Public	<ul style="list-style-type: none"> • Ability to see all candidate filings in real time on filing days • More effective delivery of election night reporting • Ability to drill down into election reporting for individual precincts • Ability to access statewide candidate portal
State Canvassing Board	<ul style="list-style-type: none"> • Improve auditing and accountability of results by precinct and vote type • Proper canvassing of voting convenience centers • Ability to conduct the canvass in a more efficient manner • Eliminate canvass errors with a single uniform canvass system for result verification and official reporting
Ballot Layout Programmers	<ul style="list-style-type: none"> • Streamlined and uniform delivery of data for ballot creation and tabulator programming
Media	<ul style="list-style-type: none"> • Standard precinct level result format for statewide election reporting • Real-time access to candidate filing information (multi-county and individual county offices) • Associated Press feed available to assist media partners to capture accurate results on election night

IRIS – Project Benefits

- Improved efficiency – more automation
- Reduced costs – maintenance costs on IRIS are substantially less than other systems it is replacing
- Establish standardization and uniformity in critical election administration areas
- Improved customer satisfaction – customized software for NM
- Increased security – three factor authentication (user name, password, Yubikey), masking private data from view, increased audit logging of user activities
- Accessibility – enhanced delivery of election data to the public
- Cleaner voter rolls – IRIS will facilitate address updates and validate addresses upon registration
- Improve system integration – where required, integration with other election systems will be included in the design of IRIS to avoid awkward workarounds and incompatibilities that currently exist

IRIS – Next Phase

Full Implementation after the 2016 Presidential Election

- **Voter Registration Management**
 - Voter Registration and Updates, including Motor Voter, in-person, online, by mail, underage voter registration
 - Image capture (voter registration record, signature, mail, photo)
 - Record Activity\Audit Tracking
 - Duplicate Record Management
 - Transfer Management
 - Address Management and Validation
 - Archiving\Purging Requirements
- **Election Management**
 - Election Setup (local, county, state)
 - Absentee Vote Tracking
 - Early Vote Credit
 - Street file and address management (Including existing data cleanup; Melissa data integration)
 - Precinct, Political Subdivision, and Jurisdiction Management (including redistricting)
 - Polling Place Management (VCC, Hybrid, Traditional)
 - Signature\Petition verification

IRIS – Next Phase (cont'd)

- **Public Access**
 - Online Registration
 - Polling Location Map
 - Sample Ballots
- **Data Exchange**
 - Electronic Registration Information Center (Cross-State, Deceased, Eligible but Unregistered, In-State Duplicate, and In-State Update)
 - Motor Vehicle Division (DL, SSN)
 - Department of Health (Deceased check)
 - Department of Corrections & Courts (Felon check)
 - Electronic Pollbooks
- **National Voter Registration Act (NVRA) Compliance**
 - Initial & Confirmation Mailings
 - Purge Process
 - National Change of Address (NACOA) Matches
- **Enhanced User Roles and Permissions**
 - State and County

Questions?

Thank you!